

Revision Log

Revision No.	Effective Date	Prepared By	Description of Changes	Affected Pages
R0	10/28/98	Andrew E. Gallegos	New Procedure	All
R1	05/06/99	Andrew E. Gallegos	Format revision	All
R2	12/09/03	Andrew E. Gallegos	Revised to incorporate new procedure format and to clarify actions steps in Section 6.0	All
Reviewed	05/06/2004	Phillip Noll	Deemed Adequate	All

Lead Assessor Certification and Assessor Qualification

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List of Acronyms and Abbreviations

RRES-RS	Risk Reduction and Environmental Stewardship-Remediation Services Project
LANL	Los Alamos National Laboratory
PTL	Project Team Leader
QP	quality procedure
QPPL	Quality Program Project Leader

Lead Assessor Certification and Assessor Qualification

1.0 PURPOSE

This quality procedure (QP) describes the process of certifying lead assessors and qualifying assessors for the Los Alamos National Laboratory (LANL), Risk Reductions and Environmental Stewardship, Remediation Services (RRES-RS) Project.

2.0 SCOPE

- 2.1 All **RRES-RS Project participants** shall implement this mandatory QP when certifying lead assessors and qualifying assessors for the RRES-RS Project.
- 2.2 **Subcontractors** performing work under the RRES-RS Project's quality program shall follow this QP for certifying lead assessors and qualifying assessors.

OR

- 2.3 **Subcontractors** may use the subcontractor's procedure for certifying lead assessors and qualifying assessors, as long as the substitute meets the requirements prescribed by the RRES-RS Project Quality Management Plan, and the RRES-RS Project Quality Program Project Leader (QPPL) approves the procedure before the subcontractors begin the designated activity.

3.0 TRAINING

- 3.1 **RRES-RS Project participants** shall train (e.g., read and/or classroom) to and use the current version of this QP; contact the author of this QP if the text is unclear.
- 3.2 **RRES-RS Project participants** using this QP shall document training in accordance with QP-2.2 Attachment A.
- 3.3 The responsible **Project Team Leader (PTL)** shall monitor the proper implementation of this procedure and ensure that the appropriate personnel complete all applicable training assignments.
- 3.4 **RRES-RS Project participants** may request any needed assistance with implementation of this procedure from RRES-RS Project Quality Integration and Improvement (QII).

4.0 DEFINITIONS

- 4.1 *Assessment*—The act of reviewing, inspecting, testing, checking, conducting surveillance, performing audits, or otherwise determining and documenting whether items, processes, or services meet specified requirements.
- 4.2 *Assessor*—An individual who participates in the performance of an assessment.
- 4.3 *Certification*—The act of determining, verifying, and attesting in writing that the qualifications of lead assessors comply with requirements.
- 4.4 *Lead Assessor*—An individual who organizes and directs the performance of an assessment.
- 4.5 *Qualification*—The requisites (e.g., education, training, skills, or experience) that equip an individual for the position of assessor or lead assessor.

5.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in this procedure:

- Project Team Leader
- QPPL
- RRES-RS Project Participants
- Subcontractors
- User

6.0 PROCEDURE

6.1 Uncertified Lead Assessor Candidate

The **QPPL** shall certify Lead Assessor candidates in accordance with the Instructions for Lead Assessor Certification Record (Attachment A), documenting the certification on the Lead Assessor Certification Record (Attachment B).

6.2 Certified-Elsewhere Candidate

To certify a Lead Assessor candidate currently certified under a program other than the RRES-RS Project's, the **QPPL** shall perform the following tasks:

- ensure that the individual's documented-certification requirements are equivalent to those stated in section 6.1 of this procedure, and

- document the certification on a Lead Assessor Certification Record (Attachment B), attaching a copy of the previous certification documents.

6.3 Lapsed-Certification-Documentation Candidate

To recertify a Lead Assessor candidate with lapsed certification documentation, the **QPPL** shall perform the following tasks:

- ensure that the candidate's documented certification requirements are equivalent to those stated in section 6.1 of this procedure;
- ensure that the candidate maintained proficiency as described in section 6.4.2 of this procedure, and;
- document proficiency maintenance of as described in section 6.4 of this procedure on a Lead Assessor Certification Record (Attachment B) and on a Lead Assessor Recertification Record (Attachment C), attaching a copy of the previous certification documents.

6.4 Maintaining Lead Assessor Certification

6.4.1 The **QPPL shall** reevaluate each Lead Assessor's qualifications every two years.

6.4.2 The **QPPL shall** ensure the Lead Assessor's proficiency through one or more of the following methods:

- Regular and active participation in the assessment program (documented in accordance with QP-10.1).
- Review and study of codes, standards, procedures, and instructions related to the quality assurance program.
- Participation in training programs that further improves assessment knowledge and skills.

6.4.3 Based on the two year evaluation, the **QPPL** may

- extend the Lead Assessor's certification;
- require retraining; or
- require recertification.

6.4.4 The **QPPL** shall document the evaluation on the Lead Assessor Recertification Record (Attachment C).

6.4.5 The **QPPL** shall recertify a Lead Assessors lapsed proficiency of a period of two or more years, as described in section 6.1 of this procedure.

6.5 Assessor Qualification

The **QPPL** shall document (e.g., letter to file) Assessor qualification by one or more of the following methods:

- general and specialized training in assessment performance, or
- on-the-job training, guidance, and counseling under the direct supervision of a Lead Assessor.

7.0 LESSONS LEARNED

- 7.1 Before performing work described in this QP, **RRES-RS Project participants** should go to the Department of Energy Lessons Learned Information Services home page, located at <http://www.tis.eh.doe.gov/II/II.html>, and/or to the LANL Lessons Learned Resources web page, located at http://www.lanl.gov/projects/lessons_learned/, and search for applicable lessons.
- 7.2 During work performance and/or after the completion of work activities, **RRES-RS Project participants**, as appropriate, shall identify, document, and submit lessons learned in accordance with the LANL, Lessons Learned System located at http://www.lanl.gov/projects/lessons_learned/.

8.0 RECORDS

The **QPPL** shall submit the following records to the Records Processing Facility, in accordance with QP-4.4:

- Completed Lead Assessor Certification Record, or
- Completed Lead Assessor Recertification Record
- Documentation of previous-lead-assessor certification
- Assessor Certification (e.g., letter to file)

9.0 REFERENCES

To properly implement this QP, **RRES-RS Project participants** should become familiar with the contents of the following documents, located at http://erinternal.lanl.gov/home_links/Library_proc.shtml:

- RRES-RS Project Quality Management Plan
- QP-2.2, Personnel Orientation and Training
- QP-4.4, Record Transmittal to the Records Processing Facility

10.0 ATTACHMENTS

The **user** of this QP may locate all forms associated with this procedure at <http://erinternal.lanl.gov/Quality/user/forms.asp>.

Attachment A: Instructions for Lead Assessor Certification Record, 2 pages

Attachment B: Lead Assessor Certification Record Form and Continuation Sheet, 2 pages

Attachment C: Lead Assessor Recertification Record Form, 1 page

[Using a token card, click here to record "self-study" training to this procedure.](#)

If you do not possess a token card or encounter problems, contact the RRES-ECR training specialist.

Instructions for Lead Assessor Certification Record

In order to qualify as a Lead Assessor, an individual must demonstrate verifiable evidence of the accumulation of a minimum of ten credits in accordance with items 1–4 below (attach all relevant documentation for awarded credits behind the Record form).

1. **Education (4 credits maximum)** — Degree(s) awarded by an accredited institution receives credits as follows:
 - one credit for an Associate Degree;
 - two credits for an Associate Degree with emphasis in science, engineering, mathematics, or quality assurance;
 - two credits for a Bachelor's Degree;
 - three credits for a Bachelor's Degree in science, engineering, mathematics or quality assurance; and
 - one additional credit for an advanced degree in physical sciences, engineering, business management, or quality assurance.
2. **Experience (9 credits maximum)** — One credit is awarded for each full year of technical experience in science, engineering, manufacturing, construction, and/or facility operation or maintenance with a maximum of five credits awarded for this experience; and
 - if two or more years of this experience have been in the nuclear field, award one additional credit;
 - if two or more years of this experience have been in quality assurance, award two additional credits;
 - if two or more years of this experience have been in assessing, award four additional credits;
 - if two or more years of this experience have been in nuclear assessing, award four additional credits.
3. **Professional Accomplishments (2 credits maximum)** — A maximum of two credits are awarded for certification of competency in science, engineering, or quality-assurance specialties issued and approved by a state agency or national professional or technical society, such as
 - ISO Registration for Assessor or Lead Assessor;
 - ASQ for Certified Quality Engineers or Certified Quality Manager or Certified Quality Assessor; or
 - Professional Engineering Registration.
4. **Rights of Management (2 credits maximum)** — The QPPL may score a maximum of two additional credits for attributes such as leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and assessor training courses.

5. **Total Points** — Enter the point total from the first four categories.
6. **Assessment Training** — List any applicable assessment training courses the candidate attended.
7. **Assessment Participation** — Prospective Lead Assessors must demonstrate participation in a minimum of five assessments with one assessment as a Lead Assessor in training. These five assessments must occur within a period of time not to exceed three years before certification.
8. **Assessment Communication Skills** — Lead Assessors must demonstrate the capability to communicate effectively, both in writing and orally.
9. **Examination** — Prospective Lead Assessors must pass an examination (with a grade of 80% or greater) that demonstrates a comprehension of and ability to apply the assessment process (oral, written, practical, or a combination thereof).
Note: Lead Assessors currently certified under a program other than the RRES-RS Project, are exempt from this criterion.
10. **Lead Assessor Qualification Certified by** — Insert the name and signature of the individual who performed the certification and the date of the certification.

Lead Assessor Certification Record																			
Name (Print): _____																			
Employer: _____																			
Qualification Point Requirements			Credits																
1.	Education:	University / _____ Degree / Date _____ (4 credits maximum) <input type="checkbox"/> Undergraduate Level _____ / _____ / _____ <input type="checkbox"/> Graduate Level _____ / _____ / _____																	
2.	Experience:	Company / Dates Employed _____ (9 credits maximum) <input type="checkbox"/> Technical (0–5 credits) or _____ / _____ <input type="checkbox"/> Nuclear Industry (0–1 credits) or _____ / _____ <input type="checkbox"/> Quality Assurance (0–2 credits) or _____ / _____ <input type="checkbox"/> Auditing (0–4 credits) _____ / _____																	
3.	Professional Accomplishment:	Certification / Date _____ (2 credits maximum) <input type="checkbox"/> Registration _____ / _____ <input type="checkbox"/> Society _____ / _____																	
4.	Management:	Justification / Evaluation / Date _____ (2 credits maximum) Explain: _____ _____ _____																	
Evaluated by: _____ Title: _____ Date: _____																			
5. Total Qualification Points Awarded																			
6. Assessor Training Courses (Course Title or Topics): _____ Date: _____ Auditor Training: _____																			
7. Assessment Participation <table style="width: 100%; border: none;"> <tr> <td style="width: 40%;">Locations</td> <td style="width: 20%;">Audit Identifiers</td> <td style="width: 20%;">Nuclear</td> <td style="width: 20%;">Dates</td> </tr> <tr> <td>_____</td> <td>_____</td> <td><input type="checkbox"/></td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> <td><input type="checkbox"/></td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> <td><input type="checkbox"/></td> <td>_____</td> </tr> </table>				Locations	Audit Identifiers	Nuclear	Dates	_____	_____	<input type="checkbox"/>	_____	_____	_____	<input type="checkbox"/>	_____	_____	_____	<input type="checkbox"/>	_____
Locations	Audit Identifiers	Nuclear	Dates																
_____	_____	<input type="checkbox"/>	_____																
_____	_____	<input type="checkbox"/>	_____																
_____	_____	<input type="checkbox"/>	_____																
8. Assessment Communication Skills Evaluated by: _____ Title: _____ Date: _____																			
9. Examination Type (oral, written, practical, or the indicated combination): _____ Date Passed: _____																			
10. Lead Assessor Qualification Certified by Name: _____ (Date) _____ (Print name, title, then sign.)																			
Two Year Evaluation																			
Signature	Date	Signature	Date																
QP-10.2, R2		Los Alamos National Laboratory RRES-Remediation Services Project																	

Lead Assessor Certification Record (Cont.) (Continuation Sheet—Page 2 of)
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(Continuation Sheet—Page 2 of)

Name:

Assessment Identifier	Assessed Organization	Assessment Dates	Participated as
		to	
		to	
		to	
		to	
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		to	
		to	
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		to	
QP-10.2, R2		Los Alamos National Laboratory RRES-Remediation Services Project	

Lead Assessor Recertification Record

I. Evaluation Results

- ☐ Extend certification (check applicable boxes in Section II below)
- ☐ Retrain and extend certification
- ☐ Rectify

Comments:

II. Method of Recertification (attach pertinent documentation)

- ☐ Regular and active participation in the assessment program.
- ☐ Review and study of codes, standards, procedures, and instructions related to quality assurance programs.
- ☐ Participation in training programs that enhances and/or improves assessment knowledge and skills.

Comments:

III. Rectified by

Printed Name	Signature	Date
QP-10.2, R2		Los Alamos National Laboratory RRES-Remediation Services Project